



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application

of \_\_\_\_\_

Docket No: GC-334

(inventor(s))

for \_\_\_\_\_

(title of invention)

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the specification of which is being transmitted herewith

Group 2700

OR

In re application of: Darren J. Kady et al

Serial No.: 09/1178,837 Group No.: 3627

Filed: October 26, 1998 Examiner:

For: Locking Device for Tools and Equipment

Commissioner of Patents and Trademarks

Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

NOTE: "Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section." 37 CFR 1.56(a).

"Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) each inventor named in the application;
- (2) each attorney or agent who prepares or prosecutes the application; and
- (3) every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application." 37 CFR 1.56(c).

NOTE: The "duty as described in § 1.56 will be met so long as the information in question was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b) - (d) and 1.98 before issuance of the patent." Notice of January 9, 1992, 1135 O.G. 13 -25 at 17.

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(Information Disclosure Statement [6-1] page 1 of 6)

Date June 7, 1999

**List of Sections Forming Part of This Information Disclosure Statement.**

The following sections are being submitted for this Information Disclosure Statement:  
*(check sections forming a part of this statement; discard unused sections and number pages consecutively)*

1.  Preliminary Statements
2.  FORM PTO - 1449 (Modified)
3.  Statement As To Information Not Found in Patents or Publications
4.  Identification of Prior Application In Which Listed Information Was Already Cited and For Which No Copies Are Submitted Or Need Be Submitted
5.  Cumulative Patents or Publications
6.  Copies of Listed Information Items Accompanying This Statement
7.  Concise Explanation of Non-English Language Listed Information Items
8.  Translation(s) of Non-English Language Documents
9.  Concise Explanation of English Language Listed Information Items (Optional)
10.  Identification of Person(s) Making This Information Disclosure Statement

*(complete the following, if appropriate)*

Sections , respectively, have been continued on ADDED PAGE(S).

*NOTE: "Once the minimum requirements are met, the examiner has an obligation to consider the information." Notice of April 20, 1992 (1138 O.G. 37-41, 37).*

(Information Disclosure Statement [6-1] page 2 of 6)

**Section 1. Preliminary statements**

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose.

The filing of this information disclosure statement shall not be construed as a representation that a search has been made (37 CFR 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability or that no other material information exists.

The filing of this information disclosure statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.



## Section 6. Copies of Listed Information Items Accompanying This Statement

NOTE: 37 CFR 1.98(a)(2) requires that any information disclosure statement filed under § 1.97 shall include: "A legible copy of: (1) Each U.S. and foreign patent; (ii) Each publication or that portion which caused it to be listed; and (iii) All other information or that portion which caused it to be listed, except that no copy of a U.S. patent application need be included . . . ."

NOTE: The wording in § 1.98(a)(2)(iii) makes it clear that the requirement to submit a copy of each item of information listed in an information disclosure statement does not apply to the citation of a U.S. patent application. Notice of January 9, 1992, 1135 O.G. 13-25, at 14.

Legible copies of all items listed in Form PTO-1449 accompany this information statement.

*(complete the following, if applicable )*

- Exception(s) to above
  - Items in prior application from which an earlier filing date is claimed for this application as identified in Section 4.
  - Cumulative patents or publications identified in Section 5.

(Information Disclosure Statement—Section 6. Copies of Listed Information Items Accompanying This Statement [6-1]—page 5 of 6 )



**Section 10. Identification of Person(s) Making THIS INFORMATION  
DISCLOSURE STATEMENT**

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The person making this statement is

(check each applicable item (a) and (b))

- (a)  the inventor(s) who signs below

SIGNATURE OF INVENTOR

Type name of inventor who is signing

- (b)  the attorney who signs below on the basis of the information:

(check each applicable item)

- supplied by the inventor(s)  
 supplied by an individual associated with the filing and prosecution of this application (37 CFR 1.56(c)).  
 in the attorney's file

Reg. No.: 20,738

Tel. No. (804) 817-6606

SIGNATURE OF ATTORNEY

Sheldon H. Parker

Type or print name of attorney

300 Preston Avenue, Suite 300

P.O. Address

Charlottesville, Virginia 22902

(Information Disclosure Statement—Section 10. Identification of Person(s) Making This Information Disclosure Statement [6-1]—page (6) of (6))

# W/988 GP 3627

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) & 1.97(c))**

Docket No.  
GC-334

In Re Application Of: Darren J. Kady et al



Serial No.	Filing Date	Examiner	Group Art Unit
09/178,837	October 26, 1998		3627

Title: Locking Device for Tools and Equipment

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Assistant Commissioner for Patents  
Washington, D.C. 20231

**Group 2700**

**37 CFR 1.97(b)**

- The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

**37 CFR 1.97(c)**

- The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:
  1. a Final Action under 37 CFR 1.113, or
  2. a Notice of Allowance under 37 CFR 1.311,whichever occurs first.

Also submitted herewith is:

- a certification as specified in 37 CFR 1.97(e);

**OR**

- the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
GC-334

In Re Application Of: **Den J. Kady et al**

Serial No. **JUN 09 1999**  
09/178,837 **ATENT & TRADEMA**

Filing Date  
**October 26, 1998**

Examiner

Group Art Unit  
**3627**

Title: **Locking Device for Tools and Equipment**

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**Group 2700**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- A check in the amount of \_\_\_\_\_ is attached.
- The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 16-0478 as described below. A duplicate copy of this sheet is enclosed.
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**Sheldon H. Parker**

*Valinda K. Drumheller*  
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**Valinda K. Drumheller**  
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**Valinda K. Drumheller**

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\_\_\_\_\_  
**Sheldon H. Parker**

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I certify that this document and fee is being deposited on June 7, 1999 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

*Valinda K. Drumheller*  
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Dated: **June 7, 1999**

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